

APPENDIX IV

WAIVERS AND EXCEPTIONS

1. Requests for waivers or exceptions will be submitted as set forth below.

a. Waivers. Requests for waivers of specific requirements will be submitted via the chain of command to Echelon 2 commands. Echelon 2 commands are delegated authority to approve initial waivers for subordinate commands and their own headquarters. No further delegation is authorized. Waiver extension requests must be forwarded to CNO (N09N3). The request for waiver must include a complete description of the problem and compensatory measures/alternative procedures, as appropriate. Approved waivers will normally be for a period of 12 months. Extension of the waiver (normally for 12 months) must be requested via the chain of command and approved by CNO (N09N3). Waiver extension requests shall refer to previous correspondence approving initial and previous extensions, as appropriate.

b. Exceptions. Requests for exceptions to specific requirements due to permanent or long term (36 months or longer) inability to meet a specific security requirement must be forwarded via the chain of command to CNO (N09N3) for consideration. Each exception request will include a description of the problem and compensatory measures and procedures to be employed. Exception requests will be reviewed and endorsed by each echelon in the chain. If an endorser does not recommend approval of the request, the endorser should return the request to the originator. The same applies to any requests for extension of previously approved long term exceptions. Correspondence that requests extension of previously approved long term exceptions, should include a reference to the initial CNO approving correspondence.

c. Waivers and exceptions to security criteria contained in references (a) through (f) fulfill the waiver and exception requirements of this instruction.

d. In other countries the host nation may have ultimate responsibility for certain aspects of security, such as perimeter security for Navy activities located there, and Navy authorities may not be able to implement certain requirements set forth in this instruction. In those instances, formal exceptions are not required. However, the parent Echelon 2 command must review the situation and determine what, if any, measures are appropriate to take to compensate for measures not allowed by the host nation.

e. Waiver and Exception Requests. The initiating command will assign a waiver or exception number per subparagraphs f and g below. All information requested below must be provided in waiver, waiver extension, and exception (permanent and long-term)

requests. Requests will be in letter format, and all elements of subparagraphs g, h, or i will be specifically addressed. Nonapplicable elements shall be noted as "N/A".

f. Waiver and Exception Identification. This paragraph provides guidance for the assignment of waiver or exception numbers. Any request for extension of a previously approved waiver or exception will use the same number assigned to the original waiver or exception approval. The basic objective is to provide a ready unique identification of any given waiver or exception with respect to the activity involved and the initial year of the request. Each waiver or exception must be identified as follows:

(1) The first six digits, beginning with the letter "N" for Navy represent the Unit Identification Code (UIC) of the activity initiating the request.

(2) The next digit is either "W" for waiver or "E" for exception.

(3) The next two digits represent the serial number of the request, beginning annually on 1 January with 01. Waiver and exception numbers will run sequentially together, e.g., W01-88 followed by E02-88, then E03-88, W04-88, etc.

Note: This is important so that activities in the reviewing chain of command can exercise their discretion to change an exception request to a waiver request, and vice versa, without having to re-coordinate the number with the requesting activity.

(4) Extensions. Original numbers assigned long term exceptions and waivers will be used when requesting exception or waiver extensions.

(5) The last two digits identify the calendar year of the request.

(6) Example:

N01234-W01-96
N = Navy activity
UIC= 01234 (Navy UIC)
W = Waiver ("E" for exception)
01 = 1st waiver (or exception) request of
calendar year
96 = 1996 (year initial waiver/exception
requested)

g. Waiver Format. The following format is prescribed for requests for waivers:

(1) Line 1 - Waiver number.

(2) Line 2 - Statement of waiver requirement and references to chapter, section, and paragraph in this manual which cite standards which cannot be met.

(3) Line 3 - Specific description of condition(s) which caused the need for the waiver and reason(s) why applicable standards in this manual cannot be met.

(4) Line 4 - Description of the physical location of affected facilities or areas. Identify structures individually by building number.

(5) Line 5 - Identify interim mandatory compensatory measures in effect or planned.

(6) Line 6 - Describe the impact on mission and any problems which will interfere with safety or operating requirements if the waiver is not approved.

(7) Line 7 - Identify resources, including estimated cost, to eliminate the waiver.

(8) Line 8 - Identify actions initiated or planned (local capability or other) to eliminate the waiver and estimated time to complete.

(9) Line 9 - Provide point of contact to include name, rank/grade, DSN and commercial phone numbers.

h. Long-Term Exception Format. The following format is prescribed for requests for long-term exceptions:

(1) Line 1 - Exception number.

(2) Line 2 - Statement of long-term exception requirement and references to chapter, section, and paragraph in this manual which cite standards which cannot be met.

(3) Line 3 - Specific description of condition(s) which caused the need for the long-term exception and reason(s) why applicable standards in this manual cannot be met.

(4) Line 4 - Description of the physical location of affected facilities or areas. Identify structures individually by building number.

(5) Line 5 - Identify interim mandatory compensatory measures in effect or planned.

(6) Line 6 - Describe the impact on mission and any problems which will interfere with safety or operating requirements if the long-term exception is not approved.

(7) Line 7 - Identify resources, including estimated cost, to eliminate the long-term exception.

(8) Line 8 - Identify actions initiated or planned (local capability or other) to eliminate the long-term exception and estimated time to complete.

(9) Line 9 - Provide point of contact to include name, rank/grade, DSN and commercial phone numbers.

i. Permanent Exception Format. The following format is prescribed for requests for permanent exceptions:

(1) Line 1 - Exception number.

(2) Line 2 - Statement of the exception requirement and reference to the chapter, section, and paragraph in this instruction which cite the standard which cannot be met.

(3) Line 3 - Specific description of condition(s) which caused the need for the permanent exception and reason(s) why applicable standards in this manual cannot be met.

(4) Line 4 - Description of physical location of affected facilities or areas. Identify structures individually by building number.

(5) Line 5 - Identify, in detail, compensatory security measures which are being applied.

(6) Line 6 - Describe the impact on mission and any problems which will interfere with safety or operating requirements if the exception is not approved.

(7) Line 7 - Provide point of contact to include name, rank/grade, DSN and commercial phone numbers.